

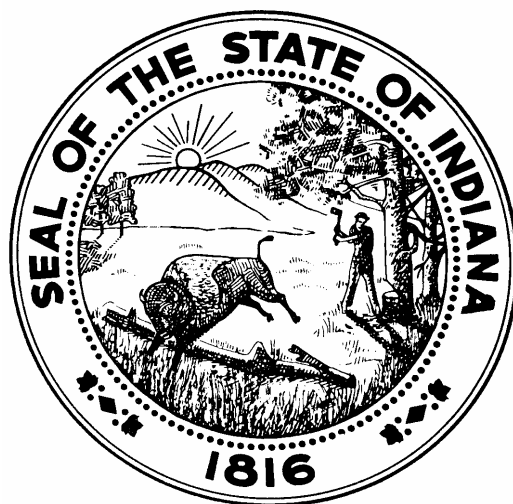
STATE BOARD OF ACCOUNTS  
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STATE OF INDIANA

STATE BOARD OF ACCOUNTS

AGENCY GUIDELINES FOR CONDUCT OF RECOUNT  
FOR THE  
STATE RECOUNT COMMISSION

May, 2004



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## INTRODUCTION

TO: Supervisors, Field Examiners, Audit Assistants and Clerks of Circuit Court

Under the provisions of Indiana Code Section 3-12-10-8, the State Board of Accounts shall conduct any recount or other contest proceeding ordered by the State Recount Commission. This manual is designed to meet the needs of recounting federal, state and legislative elections and is subject to change. Through this document, the State Board of Accounts is instructing its Supervisors, Field Examiners, and Audit Assistants in the internal agency guidelines necessary to carry out the recount duties. For convenience of our staff, we have enclosed, as an appendix, the guidelines adopted and amended by the State Recount Commission. As always, any questions or problems will be resolved by the Field Supervisors acting through and on behalf of the State Examiner and Deputy State Examiners that comprise the State Board of Accounts. This manual is not intended to be used by local officials for local election recounts.

## STATE BOARD OF ACCOUNTS

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## SBA STAFF PROCEDURES FOR RECOUNT

### RECOUNT PROCEDURE

#### I. General Instructions

- A. Head up tally sheet
- B. Completely answer all preliminary questions on tally sheet.
- C. Proceed with appropriate counting procedures.

#### II. Voting Machines and Electronic Voting Systems

- A. Organize ballot boxes so that they are available for review when the machine count for a given precinct is complete.
- B. Accompany the voting machine mechanic to the voting machine. The audit team may not personally open the machines.
- C. Inspect machine number, seals and locks. Answer questions concerning machine on tally sheet.
- D. Take the vote as registered on each machine from appropriate counting compartments and enter that information on the tally sheet.
- E. Check that number against the number certified to the circuit court clerk.
- F. Test vote the machine and record the results on the Voting Machine Inspection Sheet (lever machines only).
- G. Count signatures on poll list. That count should match the public counter reading plus absentee ballots; explain variance before proceeding.
- H. Count paper ballots, including absentee provisional and emergency ballots, by hand, determine their validity, and enter the necessary information on the tally sheet.
- I. Submit problems, questions and discrepancies to the field supervisor or Recount Director. Do not sign the tally sheet until problems and discrepancies have been addressed.
- J. Submit tally sheets to the field supervisor daily.
- K. Field Supervisor submits tally sheets to Recount Director.
- L. At the direction of the Recount Director and field supervisor, the absentee and machine or system reviews may be performed separately by separate audit teams.
- M. At the direction of the Recount Director and field supervisor, computer cartridges from electronic voting systems may be read through one or more electronic voting systems. Each individual electronic voting system will not be inspected unless specifically directed by the Recount Director and field supervisor.

## RECOUNT PROCEDURE (Continued)

### III. Ballot Cards

- A. Inspect card container seals. Answer questions concerning container on tally sheet.
- B. Examine all materials in transfer case.
- C. Count the signatures on the poll list, complete the poll list signature count and enter pertinent data on the precinct tally sheet.
- D. Examine all ballot cards set aside by precinct election board as invalid or otherwise not counted and determine their validity.
- E. Damaged or defective ballot cards are replaced prior to the count on election day. The duplicate ballot cards must be labeled "duplicate" and bear a serial number which is recorded on the damaged defective card. Verify that the number of damaged or defective ballot cards equals the number of duplicates and that the serial numbers match.
- F. Examine for validity and manually count damaged (if not duplicated) ballot cards and absentee ballots by hand. Enter totals on transfer case inspection sheet and precinct tally sheet.
- G. Examine each ballot card under validity rules and segregate as necessary.
- H. (1) Process the ballot cards with the automatic tabulating machine provided at the central location. The machine must be tested daily before the processing begins. A test deck of cards will be provided which should be varied daily to verify the continued accuracy of the tabulating machine.  
  
(2) In the alternative, count each ballot card manually.
- I. Enter the totals on the tally check list and precinct tally sheet.
- J. Check the totals against those certified to the clerk of the circuit court.
- K. Submit problems, questions and discrepancies to the field supervisor and Recount Director. Do not sign the tally sheet until problems have been addressed.
- L. Submit tally sheets to the field supervisor daily.
- M. Field supervisor submits tally sheet to Recount Director.

## RECOUNT PROCEDURE (Continued)

### IV. Working Papers

- A. One member of the audit team shall physically handle all ballot materials. The other member shall record the necessary information in the workpapers which must be kept by the audit team.
- B. The following workpapers must be kept by the audit team:
  - 1. Precinct Tally Sheet
  - 2. Poll List Signature Count
  - 3. Tally Check List
  - 4. Voting Machine Inspection Sheet
  - 5. Election Night Print Out Inspection Sheet - Electronic Voting System Precincts
  - 6. Exhibit List
  - 7. Any other workpapers considered necessary by the field supervisor or director.

### PROCEDURES FOR INDIVIDUAL INSPECTION OF BALLOTS

In accordance with the Procedures for Recount, Validity Rules and other procedures in this manual, physically inspect the ballots as follows:

1. Hold the ballot up, using a color shield, if applicable.
2. Declare the candidate for whom the ballot is counted in each affected race.
3. Review the validity rules (referring to the elements of the applicable mnemonic) and declare whether the ballot is valid or invalid.
4. After allowing the candidate watchers the opportunity to view the ballot and declare a challenge, place the ballot on the proper stack on the table.

BASIC RULES

BALLOT CARDS OR EMERGENCY BALLOTS  
(NOT ABSENTEES)

Remember PIC - OM

- P - Precinct Designation
- I - Initials of Poll Clerks
- C - Check Chad (punch card only) or Checkmark
- O - Overvotes in Affected Race
- M - Marks on the Ballot



## BASIC RULES

### ABSENTEE BALLOTS AND PROVISIONAL BALLOTS

Remember PICS - OM

- P - Precinct Designation
- I - Initials of Board Members or Authorized Representatives
- C - Checkmark
- S - Seal and Signature of Clerk
- O - Overvotes in Affected Race
- M - Marks on the Ballot

### CROSSVOTES AND OVERVOTES

(IC 3-12-1-7)

1. Straight ticket punched or marked and chad punched or ballot marked for relevant candidate of same party – count as vote for the candidate.
2. Straight ticket punched or marked by chad punched or ballot marked for relevant candidate of opposite party – count as vote for candidate with chad punched or ballot marked.
3. Straight ticket punched or marked and chad punched or ballot marked for irrelevant race – count as vote for relevant candidate as dictated by straight vote.
4. Straight ticket punched or marked for more than one political party results in an invalid ballot.
5. Chad punched or ballot marked for more than one candidate in the same race – count as a no vote for that race.

### TABLE LAYOUT

After calling, the ballots are placed on the table in the following stacks:

#### SECTION A - UNDISPUTED VALID BALLOTS

Stack 1    Candidate 1

Stack 2    Candidate 2

#### SECTION B - UNDISPUTED INVALID BALLOTS

Stack 1    Candidate 1

Stack 2    Candidate 2

#### SECTION C - DISPUTED BALLOTS

Stack 1    Candidate 1

Stack 2    Candidate 2

INDIANA STATE RECOUNT COMMISSION  
PRECINCT TALLY SHEET  
VOTING MACHINE AND ELECTRONIC VOTING SYSTEM COUNTIES

District \_\_\_\_\_ Candidate 1 (C1) \_\_\_\_\_  
County \_\_\_\_\_ Candidate 2 (C2) \_\_\_\_\_  
Precinct \_\_\_\_\_

I. Precinct Container

1. What is the seal number on the container, if applicable? \_\_\_\_\_
2. Was precinct container sealed so that its contents could not be added to or removed without breaking a seal, tape, or other closure? Describe the type of seals used: \_\_\_\_\_  
\_\_\_\_\_
3. What initials, dates, or other writing described the seal: \_\_\_\_\_

II. Precinct Tally Certificate

4. Total number of votes cast (machine, absentee ballots, provisional ballots and emergency ballots) in affected race as recorded on the precinct certificate: C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_
5. Total number of absentee ballot votes cast in the affected race as recorded on the precinct certificate. C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_
6. Total number of provisional ballot votes cast in the affected race as recorded on the precinct certificate. C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_
7. Total number of emergency ballot votes cast in the affected race as recorded on the precinct certificate. C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_

III. Absentee Voters

8. Number of absentee voter applications: \_\_\_\_\_
9. Number of absentee voter affidavits: \_\_\_\_\_
10. Number of absentee ballots delivered to the precinct: \_\_\_\_\_
11. Number of absentee voters listed on poll list: \_\_\_\_\_  
Does this figure agree with question 5, above: \_\_\_\_\_
12. If no, explain variance: \_\_\_\_\_  
\_\_\_\_\_

#### IV. Provisional Ballots

13. Number of provisional ballots cast in precinct: \_\_\_\_\_
14. Number of provisional ballots determined valid by county election board: \_\_\_\_\_
15. Number of valid provisional ballots rejected due to over vote in this race, lack of initial, and distinguish marks, etc. \_\_\_\_\_
16. Does number of valid provisional ballot votes, minus rejected ballots, agree with question 6, above: \_\_\_\_\_  
\_\_\_\_\_
17. If no, explain variance: \_\_\_\_\_  
\_\_\_\_\_

#### VOTING MACHINE AND ELECTRONIC VOTING SYSTEM COUNTIES

##### Reconciliation

	Machine or DRE			Paper Ballots (Absentee or Emergency)			Provisional Ballots			Totals		
	<u>C1</u>	<u>C1</u>	<u>C2</u>	<u>C1</u>	<u>C2</u>	<u>NV</u>	<u>C1</u>	<u>C2</u>	<u>NV</u>	<u>C1</u>	<u>C2</u>	<u>NV</u>
18. SBA Vote Tally												
A. Total Undisputed Valid Ballots	—	—	—	—	—	—	—	—	—	—	—	—
B. Total Undisputed Invalid Ballots	—	—	—	—	—	—	—	—	—	—	—	—
C. Total Disputed Ballots	—	—	—	—	—	—	—	—	—	—	—	—

##### 19. Reconciliation:

##### A. Machine or DRE Votes

Total Number of "in person" voters

per the Poll List \_\_\_\_\_

per the Public Counter or Cartridge Printout \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

##### B. Absentee Ballots

Total Number of absentee voters

per the Poll List \_\_\_\_\_

per SBA Recount \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

C. Provisional Ballots

per the CEB \_\_\_\_\_

per SBA Recount \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

D. Emergency Ballots \_\_\_\_\_

per the Precinct Tally Sheet \_\_\_\_\_

per SBA Recount \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

E. Ballot Count

	Total votes cast in <u>affected</u> race		
	C1	C2	Total
per Precinct Tally Sheet	_____	_____	_____
per SBA Recount	_____	_____	_____
Variance	_____	_____	_____

Explain Variance:

VOTING MACHINE AND ELECTRONIC VOTING SYSTEM COUNTIES

20. Dispute:

A. Has any ballot been disputed in this precinct? \_\_\_\_\_

1. Disputed by: \_\_\_\_\_

2. Reasons stated by candidate or representative for dispute, if any:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

B. Has the entire precinct been disputed per IC 3-12-11-17.7? \_\_\_\_\_

1. Disputed by: \_\_\_\_\_

2. Reasons stated by candidate or representative for dispute, if any:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

C. Exhibits should be identified by number and listed separately on the workpaper "Exhibit List."

D. Other Comments: \_\_\_\_\_

E. Names of Observers: \_\_\_\_\_

F. New Seal Number \_\_\_\_\_

G. Note to SBA Examiner:

Notify candidates and/or representatives that this is the last opportunity to challenge an undisputed ballot.

Date: \_\_\_\_\_

Auditor \_\_\_\_\_

Auditor \_\_\_\_\_

Received by Recount Director or SBA Supervisor:

Date: \_\_\_\_\_

\_\_\_\_\_  
Recount Director or SBA Supervisor

INDIANA STATE RECOUNT COMMISSION  
PRECINCT TALLY SHEET  
BALLOT CARD COUNTIES

District \_\_\_\_\_ Candidate 1 (C1) \_\_\_\_\_  
County \_\_\_\_\_ Candidate 2 (C2) \_\_\_\_\_  
Precinct \_\_\_\_\_

I. Precinct Container

1. What is the seal number on the container, if applicable? \_\_\_\_\_
2. Was precinct container sealed so that its contents could not be added to or removed without breaking a seal, tape, or other closure? Describe the type of seals used: \_\_\_\_\_  
\_\_\_\_\_
3. What initials, dates, or other writing described the seal: \_\_\_\_\_

II. Precinct Certificate Information

- |                               |       |                           |
|-------------------------------|-------|---------------------------|
| 4 Ballot Numbers Received     | _____ |                           |
| 5. (1) Total Ballots Received | _____ | Total Ballots Voted _____ |
| (2) Absentee Ballots Received | _____ | Spoiled Ballots _____     |
|                               |       | Unused Ballots _____      |
| Total                         | _____ | _____                     |
- 
- |                           |       |
|---------------------------|-------|
| 6. Duplicate Ballot Cards |       |
| (1) Number Damaged        | _____ |
| (2) Number of Duplicates  | _____ |
- 
- |               |       |
|---------------|-------|
| 7. Signed by: |       |
| Inspector     | _____ |
| Judge         | _____ |
| Judge         | _____ |
- 
- |               |       |
|---------------|-------|
| 8. Seals:     |       |
| Transfer Case | _____ |
| Used          | _____ |



## BALLOT CARD COUNTIES

### III. Precinct Tally Certificate

9. Total number of votes cast (ballot cards, and absentee ballots) in affected race as recorded on the precinct certificate: C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_
10. Total number of absentee ballot votes cast in the affected race as recorded on the precinct certificate. C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_
11. Total number of provisional ballot votes cast in the affected race as recorded on the precinct certificate. C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_
12. Total number of emergency ballot votes cast in the affected race as recorded on the precinct certificate. C1 \_\_\_\_\_ + C2 \_\_\_\_\_ = Total \_\_\_\_\_

### IV. Absentee Voters

13. Number of absentee voter applications: \_\_\_\_\_
14. Number of absentee voter affidavits: \_\_\_\_\_
15. Number of absentee ballots delivered to the precinct: \_\_\_\_\_
16. Number of absentee voters listed on poll list: \_\_\_\_\_
- Does this figure agree with question 10, above: \_\_\_\_\_
17. If no, explain variance: \_\_\_\_\_  
\_\_\_\_\_

### V. Provisional Ballots

18. Number of provisional ballots cast in precinct: \_\_\_\_\_
19. Number of provisional ballots determined valid by county election board: \_\_\_\_\_
20. Number of valid provisional ballots rejected due to over vote in this race, lack of initial, and distinguish marks, etc. \_\_\_\_\_
21. Does number of valid provisional ballot votes, minus rejected ballots, agree with question 11, above: \_\_\_\_\_  
\_\_\_\_\_
22. If no, explain variance: \_\_\_\_\_  
\_\_\_\_\_

## BALLOT CARD COUNTIES

### V. Reconciliation

#### Reconciliation

	Machine or DRE			Paper Ballots (Absentee or Emergency)			Provisional Ballots			Totals		
	<u>C1</u>	<u>C1</u>	<u>C2</u>	<u>C1</u>	<u>C2</u>	<u>NV</u>	<u>C1</u>	<u>C2</u>	<u>NV</u>	<u>C1</u>	<u>C2</u>	<u>NV</u>
23. SBA Vote Tally												
A. Total Undisputed Valid Ballots	—	—	—	—	—	—	—	—	—	—	—	—
B. Total Undisputed Invalid Ballots	—	—	—	—	—	—	—	—	—	—	—	—
C. Total Disputed Ballots	—	—	—	—	—	—	—	—	—	—	—	—

#### 24. Reconciliation:

##### A. Ballot Cards

Total Number of "in person" voters

per the Poll List \_\_\_\_\_

per the Inspection \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

##### B. Absentee Ballots

Total Number of absentee voters

per the Poll List \_\_\_\_\_

per SBA Recount \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

##### C. Provisional Ballots

per the CEB \_\_\_\_\_

per SBA Recount \_\_\_\_\_

Variance \_\_\_\_\_

Explain Variance:

D. Ballot Count

Total votes cast in affected race  
C1 C2 Total

per Precinct Tally Sheet

\_\_\_\_\_

per SBA Recount

\_\_\_\_\_

Variance

\_\_\_\_\_

Explain Variance:

BALLOT CARD COUNTIES

25. Dispute:

A. Has any ballot been disputed in this precinct? \_\_\_\_\_

1. Disputed by: \_\_\_\_\_

2. Reasons stated by candidate or representative for dispute, if any:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

B. Has the entire precinct been disputed per IC 3-12-11-17.7? \_\_\_\_\_

1. Disputed by: \_\_\_\_\_

2. Reasons stated by candidate or representative for dispute, if any:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

C. Exhibits should be identified by number and listed separately on the workpaper "Exhibit List."

D. Other Comments: \_\_\_\_\_

E. Names of Observers: \_\_\_\_\_

F. New Seal Number \_\_\_\_\_

G. Note to SBA Examiner:

Notify candidates and/or representatives that this is the last opportunity to challenge an undisputed ballot.

Date: \_\_\_\_\_

Auditor \_\_\_\_\_

Auditor \_\_\_\_\_

Received by Recount Director or SBA Supervisor:

Date: \_\_\_\_\_

\_\_\_\_\_  
Recount Director or SBA Supervisor

District \_\_\_\_\_  
County \_\_\_\_\_  
Precinct \_\_\_\_\_

POLL LIST SIGNATURE COUNT

Page	Signatures	Absentee	Page	Signatures	Absentee
1			51		
2			52		
3			53		
4			54		
5			55		
6			56		
7			57		
8			58		
9			59		
10			60		
11			61		
12			62		
13			63		
14			64		
15			65		
16			66		
17			67		
18			68		
19			69		
20			70		
21			71		
22			72		
23			73		
24			74		
25			75		
26			76		
27			77		
28			78		
29			79		
30			80		
31			81		
32			82		
33			83		
34			84		
35			85		
36			86		
37			87		
38			88		
39			89		
40			90		
41			91		
42			92		
43			93		
44			94		
45			95		
46			96		
47			97		
48			98		
49			99		
50			100		

Totals \_\_\_\_\_

# VOTING MACHINE INSPECTION SHEET

District \_\_\_\_\_

Candidate 1 (C1) \_\_\_\_\_

County \_\_\_\_\_

Candidate 2 (C2) \_\_\_\_\_

Precinct \_\_\_\_\_

SBA  
Inspection

After  
SBA Test Vote

Voting Machine Number \_\_\_\_\_

Seal Number \_\_\_\_\_

Was Machine Locked? \_\_\_\_\_

Was Seal Intact? \_\_\_\_\_

Number of Voting Machines in this Precinct: \_\_\_\_\_

Protective Counter Reading

\_\_\_\_\_

\_\_\_\_\_

Public Counter Reading

\_\_\_\_\_

\_\_\_\_\_

Votes Recorded in Affected Race:

<u>Candidate</u>	<u>Position</u> <u>on Ballot</u>
------------------	-------------------------------------

C1	_____
----	-------

\_\_\_\_\_

\_\_\_\_\_

C2	_____
----	-------

\_\_\_\_\_

\_\_\_\_\_

Total	
-------	--

\_\_\_\_\_

\_\_\_\_\_

Describe anything found unusual about machine(s) (including information on seals, locks, repairs, etc.):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Audit Team

Date: \_\_\_\_\_

INSPECTION OF ELECTION NIGHT PRINTOUT  
ELECTRONIC VOTING SYSTEM

District \_\_\_\_\_ Candidate 1 (C1) \_\_\_\_\_  
County \_\_\_\_\_ Candidate 2 (C2) \_\_\_\_\_  
Precinct \_\_\_\_\_ Machine Number \_\_\_\_\_

1. Was Election night printout in a sealed container? \_\_\_\_\_
2. Did the printout show that the machine was programmed so that no over voting could occur in the affected race? \_\_\_\_\_
3. Was the machine tested to ensure votes were recorded correctly? \_\_\_\_\_
4. Were the vote tallies for each candidate equal to zero at the opening of the polls? \_\_\_\_\_
5. Total voters: \_\_\_\_\_
6. Total votes cast in affected race:

Candidate	Votes
Candidate 1	
Candidate 2	

7. Does the printout reconcile to the cartridge reading for the affected race? \_\_\_\_\_

STATE BOARD OF ACCOUNTS  
Absentee Provisional and Emergency Ballots  
Tally Check List

District \_\_\_\_\_ Candidate 1 (C1) \_\_\_\_\_

County \_\_\_\_\_ Candidate 2 (C2) \_\_\_\_\_

Precinct \_\_\_\_\_

UNDISPUTED VALID BALLOTS			UNDISPUTED INVALID BALLOTS			DISPUTED BALLOTS		
--------------------------	--	--	----------------------------	--	--	------------------	--	--

Absentee	Provisional	Emergency	Absentee	Provisional	Emergency	Absentee	Provisional	Emergency
C1								
C2								
No Votes								



STATE BOARD OF ACCOUNTS  
EXHIBIT LIST  
DISPUTED BALLOTS

DISTRICT \_\_\_\_\_

CANDIDATE 1 (C1) \_\_\_\_\_

COUNTY \_\_\_\_\_

CANDIDATE 2 (C2) \_\_\_\_\_

PRECINCT \_\_\_\_\_

[illegible]

## APPENDIX

### STATE RECOUNT COMMISSION GUIDELINES FOR CONDUCT OF AN ELECTION RECOUNT AND CONTEST

## INDIANA CODE CITATIONS